



RESEARCH
PROGRAM ON
Livestock

More meat, milk and eggs by and for the poor

Theories of Change and Results Based Management in the CRP Livestock

Helen Altshul

Independent Steering Committee
Virtual Orientation Session 3
November 2017



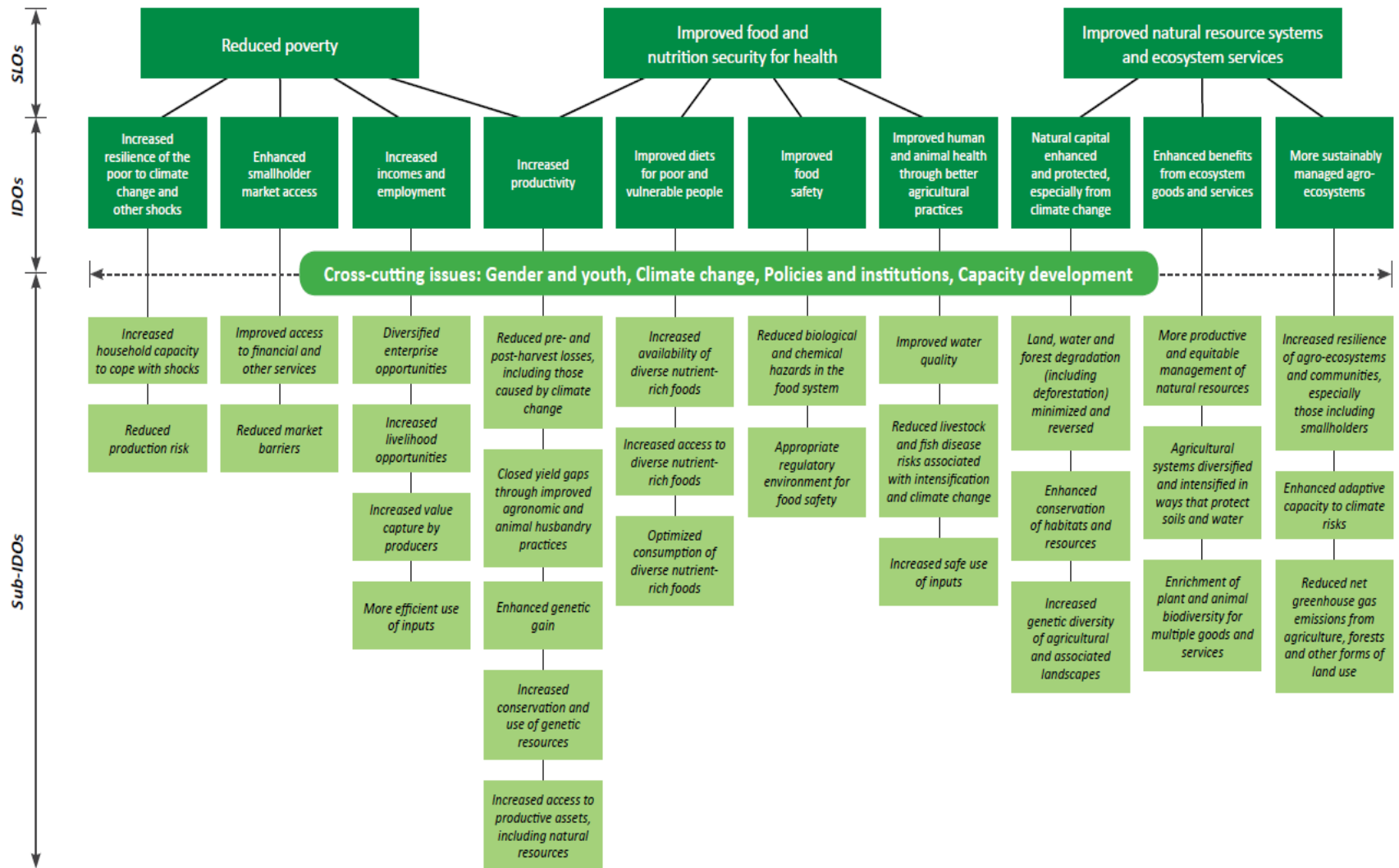
Flow of the presentation

1. Definitions
2. CGIAR Strategy and the CRP Livestock
3. Introduction to Theories of Change (ToCs)
4. Use of ToCs in the CGIAR/CRP Livestock

Definitions

- Milestone: A time bound target that reflects progress towards a planned result.
- Deliverable: A specific, time-bound, tangible information and knowledge product that documents progress in the development of an output.
- Output: A knowledge product, technology or service resulting from one or more projects. An output encompasses a set of related deliverables.
- Outcome: The short to medium-term change in knowledge, skills, attitudes, relationships and/or behaviour to which research outputs and related activities have contributed.
- Impact: The medium to long-term change in state resulting from a chain of events to which research outputs and related activities has contributed, through outcomes.
- Impact Pathway (IP): The causal pathway for a research project or program that outlines the expected sequence to achieve desired objectives beginning with inputs, moving through activities and outputs, and culminating in outcomes and impacts.
- Theory of Change (ToC): An explicit, testable model of how and why change is expected to happen along an impact pathway in a particular context. A basic research-for-development ToC identifies the context and key actors in a system and specifies the causal pathways and mechanisms by which the research aims to contribute to outcomes and impacts.

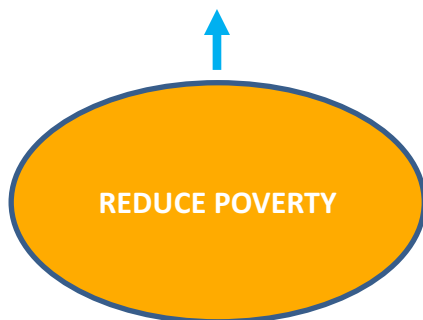
CGIAR Strategy and Results Framework (SRF)



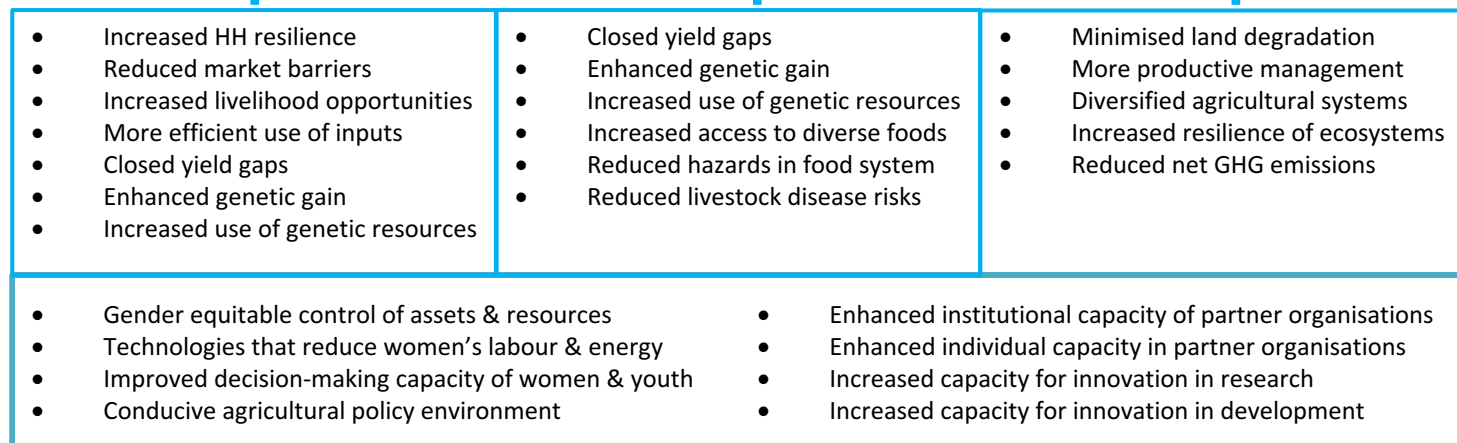
CRP Livestock within the CGIAR strategy



CGIAR
SYSTEM
LEVEL
OUTCOMES



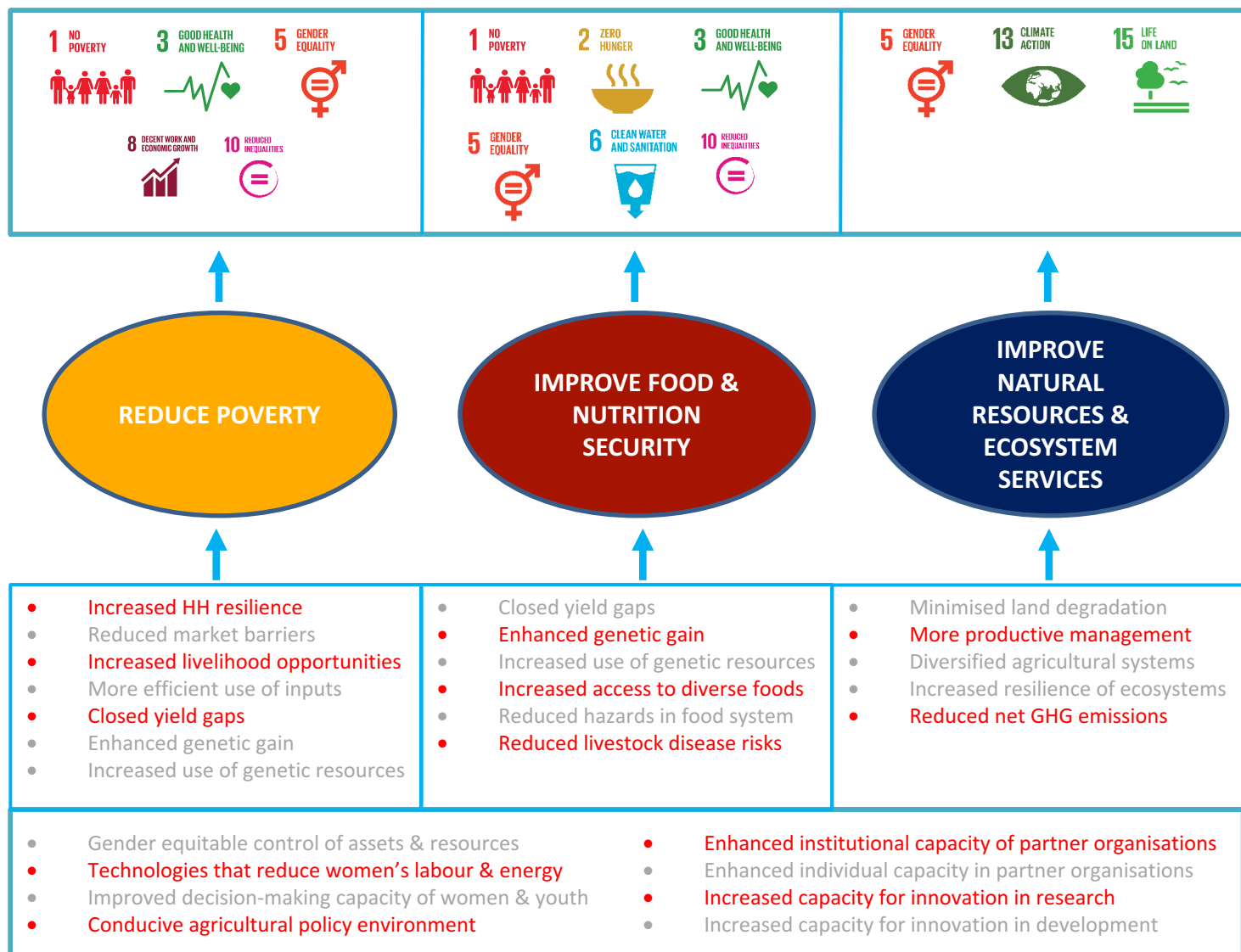
CRP
LIVESTOCK
SUB-IDOs





CGIAR SYSTEM LEVEL OUTCOMES

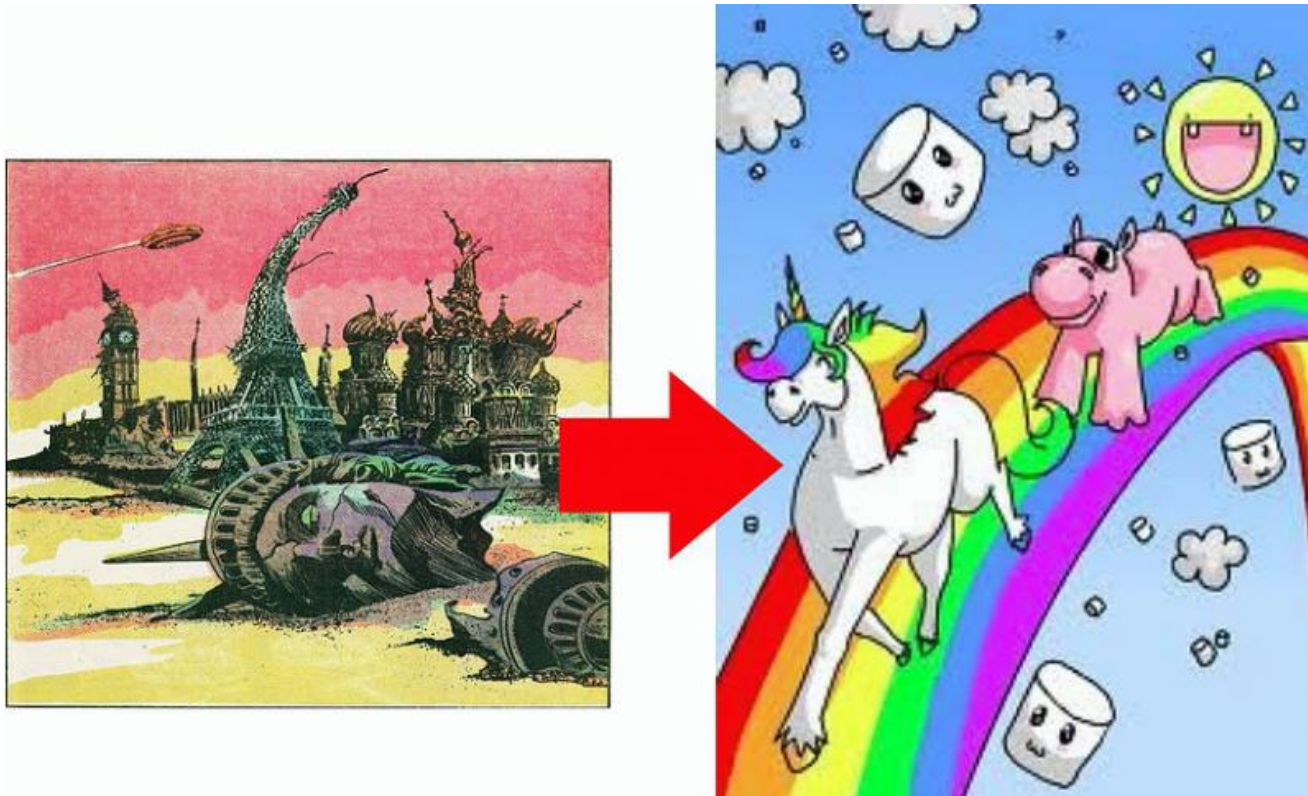
CRP LIVESTOCK SUB-IDOs



Introduction to Theories of Change (ToCs)

- *“A Theory of Change charts how an intervention/program takes the world from a place of desolation to utopia (or as close to it as possible)”*

Ann-Murray Brown, 2016



Differences between ToC and logical framework

Theory of Change	Logical Framework
Strategic level - Gives the big picture	Implementation level – zooms in on a specific outcome within the ToC
Visually “messy” and complex	Visually “neat” and structured
Explanatory – if we do X then Y will change because	Descriptive – if we plan to do X, then this will give Y result
Starts with the goal and works backwards	Usually designed from the “bottom up”
Multiple pathways	Linear (no cyclical processes or feedback loops)

When to use ToCs and Logical Frameworks

Usage	Theory of Change	Logical Framework
Show someone something they can understand at a glance	✓	✓
Demonstrate that you have identified the basic inputs, outputs and outcomes for your work		✓
Summarize a complex theory into basic categories		✓
Design a complete initiative and have a rigorous plan for success	✓	
Explain why an initiative worked or didn't work and what exactly went wrong	✓	
Evaluate appropriate outcomes at the right time and in the right sequence	✓	

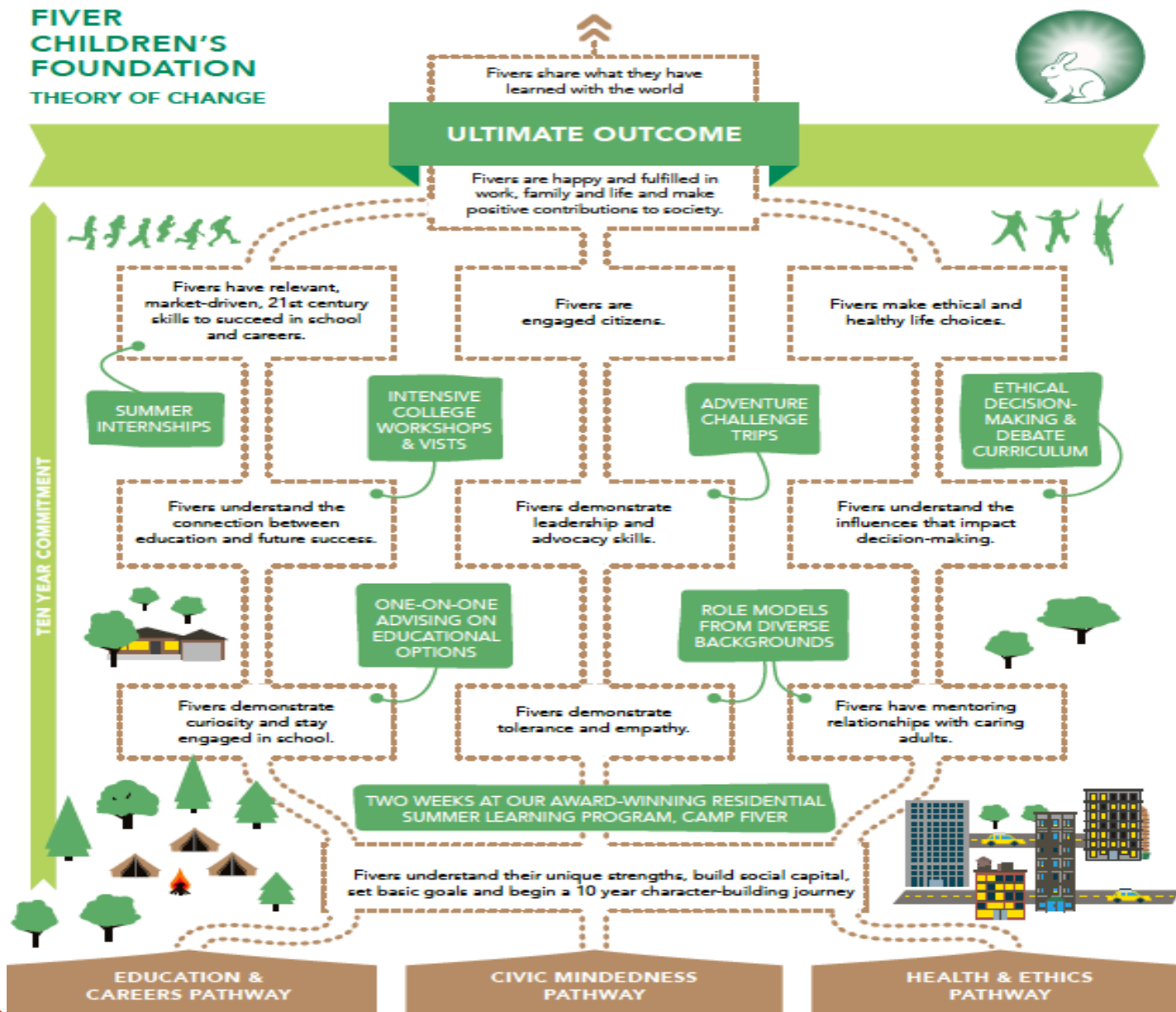
Steps in creating a ToC

1. Identify a long term goal (impact).
2. Conduct "backwards mapping" to identify the preconditions necessary to achieve that impact.
3. Identify the interventions that the project or program will perform to create these preconditions (outcomes) i.e. develop the Outcomes Framework.
4. Develop indicators for each precondition (outcome) that will be used to assess the performance of the interventions.
5. Write a narrative that can be used to summarize the various moving parts in the TOC.

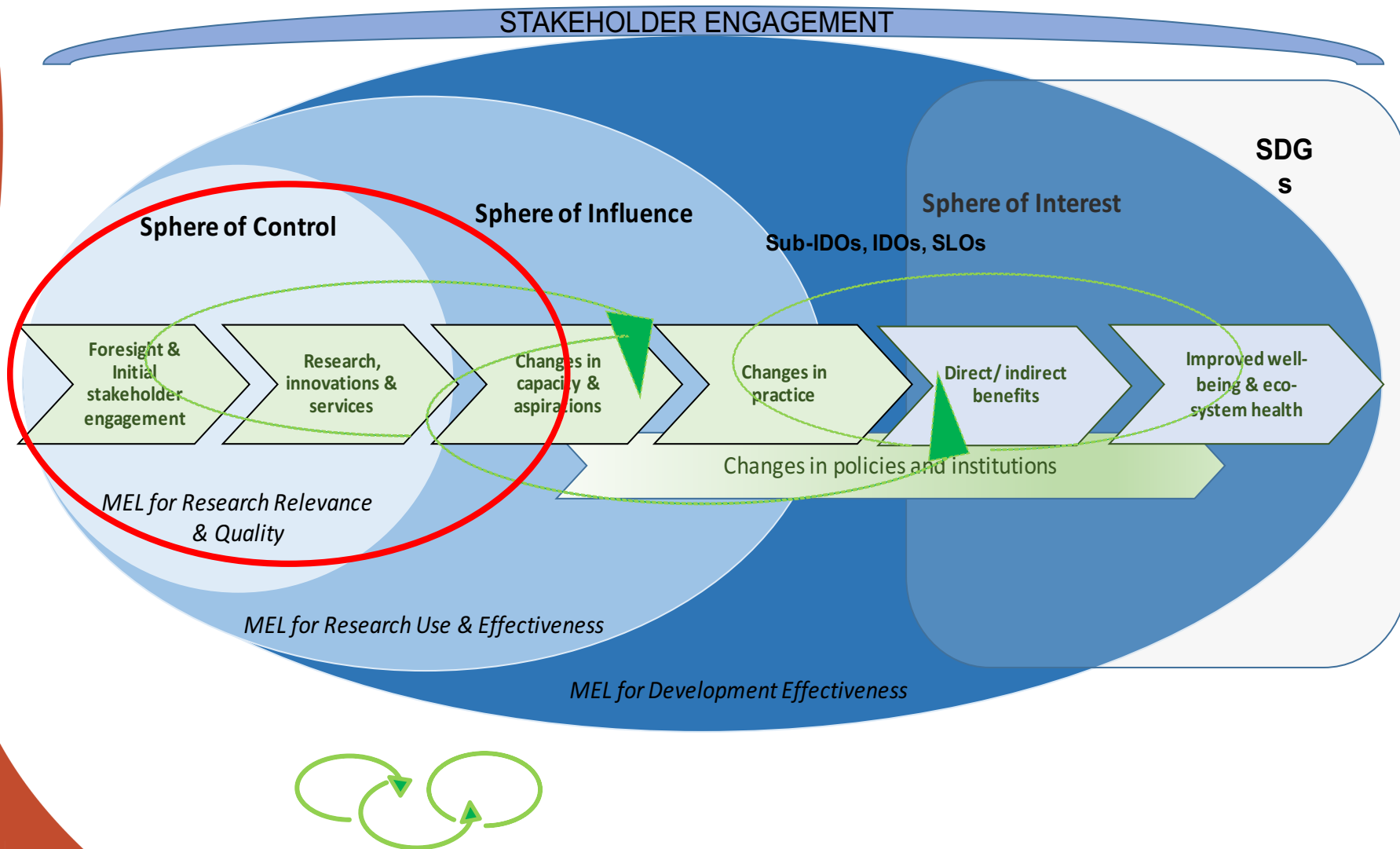
General features of a ToC

- Gives the big picture, including issues related to the environment or context that you can't control.
- Shows all the different pathways that might lead to change, even if those pathways are not related to your project/program.
- Describes how and why you think change happens.
- Could be used to complete the sentence "if we do X, then Y will change because..."
- Is presented as a diagram with narrative text.
- The diagram is flexible and doesn't have a particular format - it can include cyclical processes, feedback loops, one box can lead to multiple other boxes, etc.
- Describes why you think one box will lead to another box (e.g. if you think increased knowledge will lead to behaviour change, is that an assumption or do you have evidence to prove it?)

Example ToC



CGIAR System ToC Framework



Rapid assessment and learning loops

Credit: Tonya Scheutz, Indicators Task Force

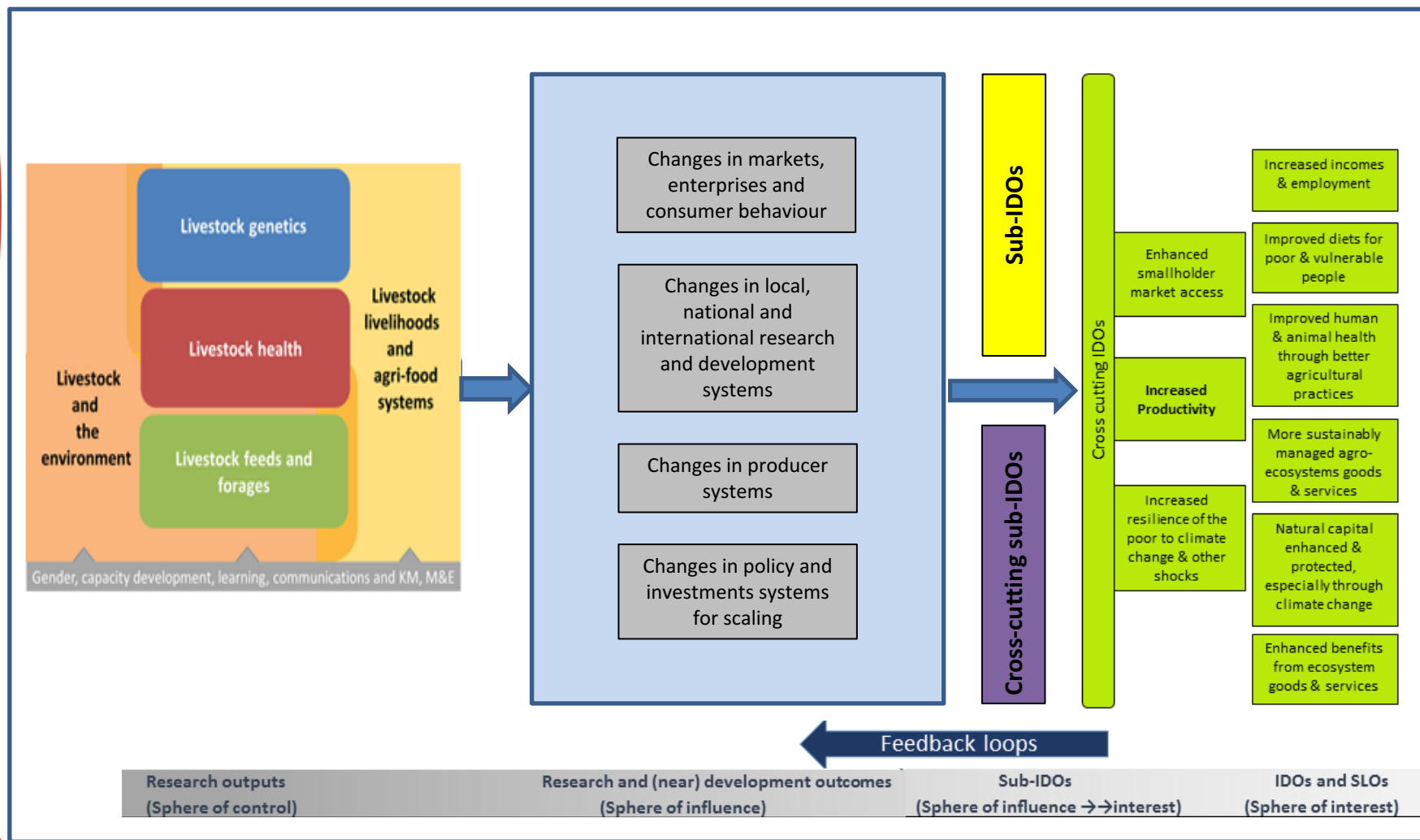
New CGIAR common reporting indicators (draft)

SPHERE	INDICATORS
INTEREST (development outcomes/ impacts)	<u>Global progress towards SLO targets</u> together with narrative and numbers on evidenced, at-scale uptake/use/benefits from <u>past</u> CGIAR investments
INFLUENCE (research outcomes)	1. <u>Projected uptake</u> : ex-ante assessment of <u>people</u> to benefit from current investments: “recommendation domain”
	2. <u>Projected uptake</u> : ex-ante assessment of <u>hectares</u> to benefit from current investments: (Particularly relevant to NRM work)
	3. <u>Number of policies/laws/regulations/budgets/investments/curricula</u> modified in design or implementation, informed by CGIAR research
	4. <u>Altmetrics</u> : A measure of policy, media and social media interest/use which can cover all publications, not only peer- reviewed
CONTROL (outputs/ activities)	5. <u>Number of participants in CGIAR activities</u> (called ‘direct reach’ by some funders)
	6. <u>People trained</u> (a subset of #5 of particular interest to some funders)
	7. <u>Number of innovations by phase</u> (development of innovations, piloting if relevant, available for uptake, uptake by next users)
	8. <u>Number of peer reviewed publications</u>

Use of ToCs in CGIAR

- Monitoring: The ToC identifies what events and conditions should be tracked to understand how implementation is progressing. Monitoring needs to cover not only key results, but also key causal link assumptions and any gaps in logic and evidence.
- Evaluation: CRPs are setting ambitious intermediate development outcome (IDO) targets over the next 3-6 years and will need to demonstrate how they have contributed to these IDOs.
- Impact assessment: CRPs need to be able to explain how their research efforts are expected to contribute to development impacts. Despite the lag time between research and impact, CRPs must understand their intended pathways to impact and the assumptions behind them.

CRP Livestock over-arching ToC



Use of ToCs in CRP Livestock

- Identify critical linkages between program inputs and impacts.
- Identify critical conditions for success (e.g. contextual factors such as policy and economic conditions).
- Identify alternative explanations of change (counterfactuals).
- Facilitate the identification of research questions that need to be tested to confirm or refute the original program ToCs
- Make a cause and effect argument that can be linked to activities of the CRP.
- Each Flagship research program has its own specific ToC.
- Focus is now on articulating research product lines.

(Research) Product Lines

- A research effort undertaken by a CRP Livestock Flagship over time with a well-defined objective and a clearly described strategic output or set of outputs - the research ‘product’ - as the final target within our sphere of control.
- Usually involves multiple steps with dynamic learning over several years and achieved through multiple projects/activities.
- Stylized as a linear discovery-to-delivery “line”, even though we know it is likely to be non-linear with many intervening factors and feedback loops.

Product Line in the IP/ToC

Sphere of Control

Research
Activity

Proof of
Concept

Trial

Pilot

'PRODUCT'
Key Output

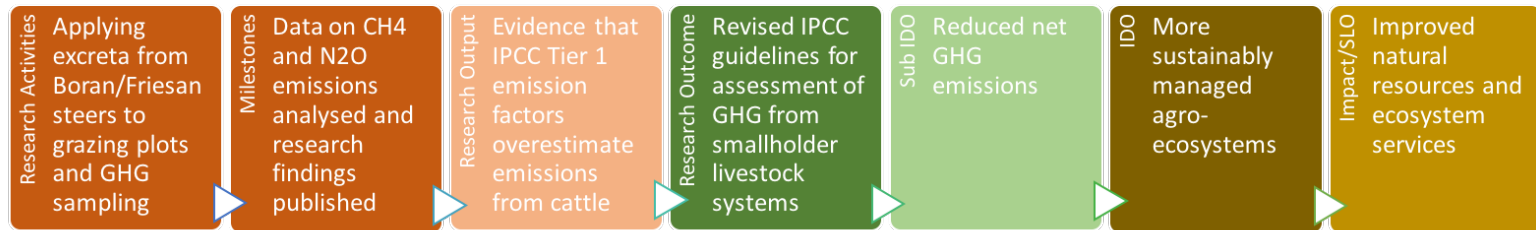
Research
Outcomes:
Capacity to
support
scaling

Develop-
ment
Outcomes:
Capacity to
scale,
investment

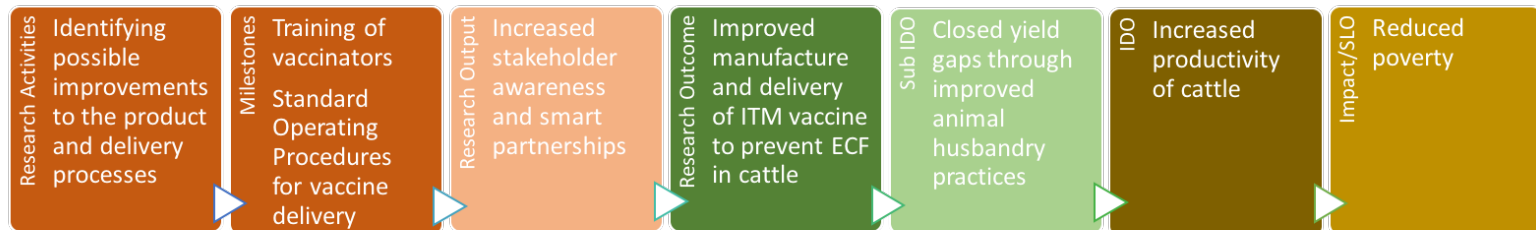
Impact

Example product lines

International Public Good
(CCAFS research on greenhouse gas emissions)



Product/Technology
(CRP Livestock research on ITM vaccine for ECF)



Socio-economic
(A4NH research on food safety)



CGIAR Research Program on Livestock

livestock.cgiar.org



The program thanks all donors and organizations which globally support its work through their contributions to the [CGIAR system](#)

The **CGIAR Research Program on Livestock** aims to increase the productivity and profitability of livestock agri-food systems in sustainable ways, making meat, milk and eggs more available and affordable across the developing world.